

FIG. 1

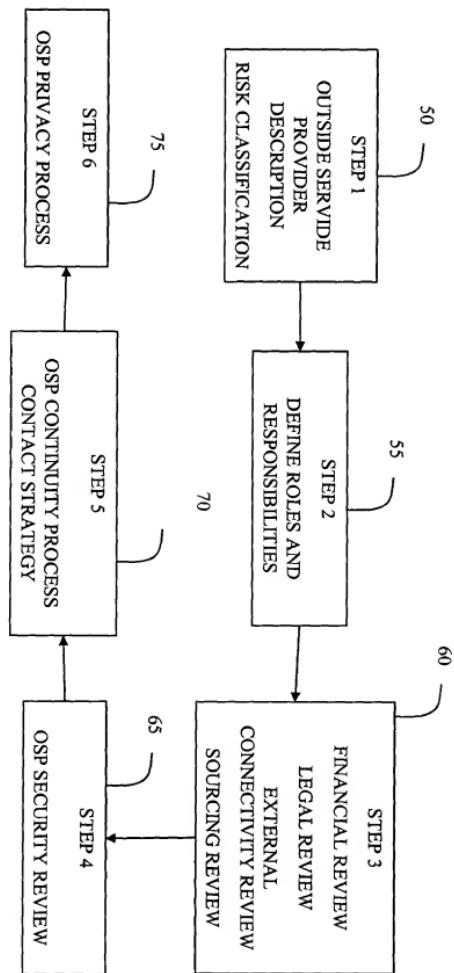


FIG. 2

80	Name of Outside Service Provider: OSP 1 85 County Residency/Domicile: Street: City State: Zip Location where OSP Services are provided: Street: City State: Zip			
90				
95				
100	Select Production JPMorganChase applications that OSP accesses and/or supports Production Applications Name of Application: Criticality Sensitivity: Information Owner Application 1: Critical Sensitive Information Owner Application 2: Critical Sensitive Executive			
110				
120				
125				
130				
135				
140	Select Development /UAT JPMorganChase applications that OSP accesses and/or supports Development and Qa /UAT Applications Name of Application: Criticality Sensitivity: Information Owner Application 1: Critical Sensitive Executive Application 2: Critical Sensitive Executive			
150				
155				
160				
165				
170				
175				
180	Does the OSP subcontract to another vendor? 195 Yes No 200 205 210 215			
190	OSP Subcontractor Name of Vendor: Contact Vendor Primary Location: Vendor Recovery Location			
195				
200				
205				
210				
215				

FIG. 3

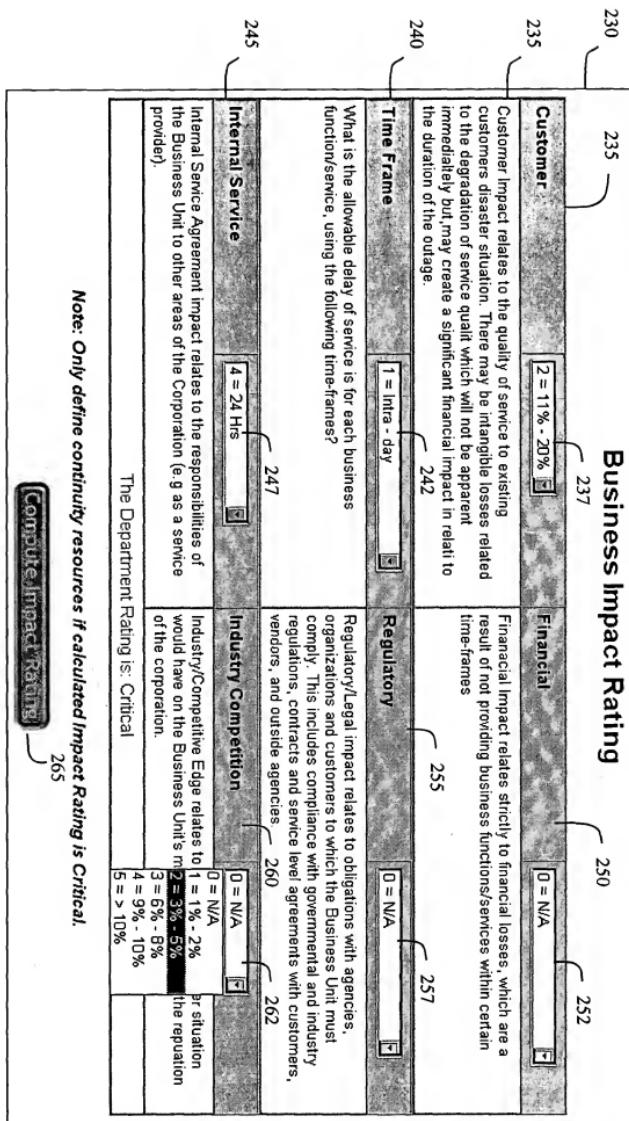


FIG. 4

270	Country Impact Risk	Yes	280	235
275	Is there a possibility of that economic conditions and events might adversely affect JPMorganChase?	No	285	290
300	Is there a possibility of that social conditions and events might adversely affect JPMorganChase?			
305	Is there a possibility of that political conditions and events might adversely affect JPMorganChase?			
310	Rating: High			
282	Date: 08-13-2002			
290	Government Advisory			
288	Travel Restrictions			
287	WAR			
	Other			

FIG. 5

PRIMARY ROLES				
Role	Assigned by	Date Assigned	Assigned to	Date Accepted
380 Information Owner	Owner	2002-08-13 10:58:46.0	Owner	2002-08-13 10:58:46.0
385 Information Risk Manager	Owner	2002-08-13 10:58:46.0	Owner	2002-08-13 10:58:46.0
390 Information Risk Manager	Owner	2002-08-13 10:58:46.0	Owner	2002-08-13 10:58:46.0
395 Information Manager	Owner	2002-08-13 10:58:46.0	Owner	2002-08-13 10:58:46.0
400 Operations Risk Manager	Owner	2002-08-13 10:58:46.0	Owner	2002-08-13 10:58:46.0
405 Relationship Manager for OSP	Owner	2002-08-13 10:58:46.0	Owner	2002-08-13 10:58:46.0
410 Data Privacy	Owner	2002-08-13 10:58:46.0	Owner	2002-08-13 10:58:46.0
415 Financial Manager	Owner	2002-08-13 10:58:46.0	Owner	2002-08-13 10:58:46.0
420 Sourcing Manager	Owner	2002-08-13 10:58:46.0	Owner	2002-08-13 10:58:46.0
425 External Competitity Manager	Owner	2002-08-13 10:58:46.0	Owner	2002-08-13 10:58:46.0

ALTERNATE ROLES				
Role	Assigned by	Date Assigned	Assigned to	Date Accepted
425 Information Owner	Owner	2002-08-13 10:58:46.0	Owner	2002-08-13 10:58:46.0
430 Information Risk Manager	Owner	2002-08-13 10:58:46.0	Owner	2002-08-13 10:58:46.0

FIG. 6

APPLICATION DEVELOPMENT				
Question	Yes	No	NA	Comments
Is there a process in place to ensure that malicious code is not introduced into a JPMorgan Chase system?				
If yes, please provide this process.				
Has the vendor attained industry-standard (e.g., ISO 9000, SEI CMM) certification?				
If yes, please provide the certification information.				
Is a copy of all source code and documentation under development made periodically and stored at a JPMorgan Chase facility?				
If yes, please provide this process.				

FIG. 7

Plan	Yes	No	N/A	Comments
575 Has the business continuity plan been tested within the past 12 months? If yes please indicate the date(s). [Redacted]				550
580 Has the next business continuity test been scheduled within 12 months of the previous exercise? If yes please indicate the date(s). [Redacted]				555
585 1. Has an alternate site been selected for processing business functions in the event the existing location is unavailable? 2. Is a business continuity plan documented for the resumption of the business and service delivery at a different location or in a different location or in a way other than normal? 3. Does the business recovery plan provide the information required to react to an event to resume and continue critical business services/functions, and to ultimately return to business as usual? 4. Does the plan include the documentation of both the business and associated technology requirements? 5. Does the plan account for the loss of critical applications/systems (e.g. data center outage)? 6. Does the plan account for the loss of the primary facility?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	560 570

FIG. 8

OSP Communication Strategy

Name	Employee ID	Cost Center
Jodi R. Miller	123456	54321
Graham de Gortai	123456	54321
Dianne O'Boyle	123456	54321

Add New Contact

Add New Contact

Name:

Employee ID:

Cost Center:

Primary Work Location:

Primary Work Address:

Primary Work Region:

Primary Work Branch:

Submit

FIG. 9

FIG. 10

655

Please Select a Category

660

 Customer Service Processes Data Destruction and Disposal Procedures

670

 Data Extraction and Modification Development and QA/UAT Environment Processes

680

 Encryption Practices

690

 Outside Service Provider Practices Related Applications and Processes Website Practices

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695

655

Are customer service agents trained to safeguard the information they have access to from social engineering tactics? If so, Please attach the procedure / awareness documentation.

Yes No N/A Comments/Process

Are customer service agents trained to not to enter sensitive information into comment fields that may not require authorization? If so, Please attach the procedure / awareness documentation.

Are there procedures that define what a customer service agent may deliver from this application to customers and/or employees via the E-Mail contact channel? If so, Please attach the procedure / awareness documentation.

Are there procedures that define what a customer service agent may deliver from this application to customers and/or employees via the Fax contact channel? If so, Please attach the procedure / awareness documentation.

Are there procedures that define what a customer service agent may deliver from this application to customers and/or employees via the Fax contact channel? If so, Please attach the procedure / awareness documentation.

Senior Business Executive	Line Of Business	Retail & Middle Market Financial Services Status		
		Outside Service Provider	Corrective Action Plan	Risk Acknowledgment
Norman Buehler	Chase Auto Finance	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Richard Szwednicki	Chase Cardmembers	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Steve Rotella	Chase Home Finance	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

FIG. 11

<input checked="" type="checkbox"/> Compliant
<input checked="" type="checkbox"/> In Progress
<input checked="" type="checkbox"/> Not Compliant with Compensating Controls
<input type="checkbox"/> Not Compliant
<input type="checkbox"/> Not Assigned
<input checked="" type="checkbox"/> Not Applicable
<input checked="" type="checkbox"/> CAP or Risk Ack. in place
<input checked="" type="checkbox"/> No CAP or Risk Ack. in place

FIG. 12

OSP Name	Managing Risk	Continuity	Data Privacy	Financial	Sourcing Assessment	Legal	External Connectivity	Business Impact	Country Risk	Risk Acknowledgment	Contingency Action Plan
OSP1	<input checked="" type="checkbox"/>	Critical	LOW	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>						
OSP2	<input checked="" type="checkbox"/>	Critical	LOW	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>						
OSP3	<input checked="" type="checkbox"/>	Critical	LOW	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>						
OSP4	<input checked="" type="checkbox"/>	Critical	LOW	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>						
OSP5	<input checked="" type="checkbox"/>	Critical	LOW	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>						

Back to OSP State of Health

800

865

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810

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845

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855

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FIG. 13